



#5

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
 Yoshihiro GUNJI et al. : Docket No. 2001-1075A  
 Serial No. 09/917,732 : Group Art Unit 2812  
 Filed July 31, 2001 :  
 SUBSTRATE HOLDING APPARATUS AND :  
 SUBSTRATE POLISHING APPARATUS :

THE COMMISSIONER IS AUTHORIZED TO CHARGE ANY DEFICIENCY IN THE FEE FOR THIS PAPER TO DEPOSIT ACCOUNT NO. 23-0975.

RECEIVED  
OCT - 5 2001  
TC 2800 MAIL ROOM

INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents,  
Washington, DC 20231

RECEIVED  
OCT 8 0 2001  
TC 1700

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of  the references listed on attached form PTO-1449 and/or  the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed.

1a.  This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing date of the first Office Action on the merits,

and thus no certification and/or fee is required.

1b.  This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

(1)  the certification of paragraph 2 below is provided, or

(2)  the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

1c.  This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and**

**the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

a.  that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or

b.  that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3.  Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.



4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a.  a full or partial English language translation submitted herewith,
  - b.  a foreign patent office search report (in the English language) submitted herewith,
  - c.  the concise explanation contained in the specification of the present application at page,
  - d.  the concise explanation set forth in the attached English language abstract,
  - e.  the concise explanation set forth below or on a separate sheet attached to the reference:
5.  A foreign patent office search report citing one or more of the references is enclosed.

Respectfully submitted,

Yoshihiro GUNJI et al.

By:

Nils E. Pedersen  
Registration No. 33,145  
Attorney for Applicants

RECEIVED

OCT 30 2001

TC 1700

OCT - 5 2001  
2900 MAIL ROOM

RECEIVED

NEP/pth  
Washington, D.C. 20006-1021  
Telephone (202) 721-8200  
Facsimile (202) 721-8250  
October 1, 2001